

TOTAL ARMY PERFORMANCE EVALUATION SYSTEM

AR 690-400, Chapter 4302



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AGENDA

- **TAPES Goals**
- **References**
- **Rating Schedule**
- **General TAPES Information**
- **Leadership Obligations and Ratee Expectations**
- **Appraisal Process**
- **Special Situations**
- **APMS XXI**



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TAPES GOALS

- **Improve civilian evaluation system**
- **Enhance civilian professional/leader development**
- **Empower employees**
- **Enhance total Army culture**
- **Facilitate mutual understanding**
- **Emphasize shared values**
- **Support Total Army Quality**



REFERENCES

- **References:**

- **AR 690-400, Chapter 4302, Total Army Performance Evaluation System, 16 October 1998.**
- **DA Pamphlet 690-400, Total Army Performance Evaluation System (TAPES) (Chapter 4302).**

- **Forms:**

- **Senior System Civilian Evaluation Report Support Form (DA Form 7222), and Senior System Evaluation Report (DA Form 7222-1). .**
- **Base System Civilian Performance Counseling Checklist/Record (DA Form 7223), and Base System Civilian Evaluation Report (DA Form 7223-1).**



RATING SCHEDULES

Senior System

GS/GM/WS 13 -15

1 Jul - 30 Jun

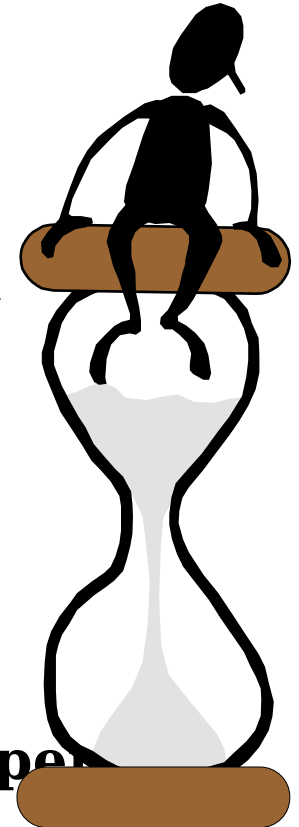
GS/WS 9 - 12

1 Nov - 31 Oct

Base System

GS/WS 8 and below,
and WG and WL

1 Nov - 31 Oct



*** Reports due in CPAC 45 days after rating period ends.**



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GENERAL TAPES INFORMATION

- **Civilian Evaluation Report** - - An overall rating of the employee's performance of assigned performance objectives/responsibilities. The rating period is usually 12 months.
- **Performance objective/responsibility** - -
 - A major duty of such importance that unacceptable performance would result in a determination that overall performance in the job is unacceptable.
 - Includes an expression of the performance expectation (standard) at the fully successful level that is measurable, attainable, and challenging.



LEADERSHIP OBLIGATIONS AND RATEE EXPECTATIONS

- **Raters - -**

- Let the ratee know the rating chain
- Explain ratee's role on the organization's mission
- Define performance objectives
- Provide feedback on performance - - at least at the mid-point
- Review training needs and complete IDP
- Discuss career goals and planning
- Provide timely evaluation reports

- **Ratees - -**

- Know office mission and job duties
- Understand job requirements and/or request clarifications
- Actively participate in performance evaluation discussions, IDP preparation, career planning, and project planning
- Carry-out performance plan and provide regular feedback to the rater



THE APPRAISAL PROCESS

- **Initial counseling to be completed within 30 days of the beginning of the rating period - -**
 - Explain rating chain, and discuss the position description and mission.
 - Review pre-established responsibilities/standards for Base System employees to assure understanding of expectations. Supplement as required.
 - Develop performance objectives with input from Senior System employees.
 - Usually no more than 5 to 7 objectives.
 - Should be measurable, attainable, challenging, and of similar importance.
 - Discuss the Army values.
 - Determine training needs and complete the IDP.
 - Ratee and rater initial form. Senior rater initials/approval not required.



THE APPRAISAL PROCESS

DEVELOPING PERFORMANCE OBJECTIVES



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THE APPRAISAL PROCESS

PERFORMANCE OBJECTIVES AND RELATIONSHIPS

- **Mission statement**
- **Vision statement**
- **Functional statements (directorates/division level)**
- **Job description**

Performance objectives/responsibilities



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THE APPRAISAL PROCESS

GUIDELINES

- Should be *consistent* with job description and support mission and vision.
- *All objectives* are critical; therefore, failure in an objective is failure in the job.
- Objectives should have the *same relative importance*; require the same level of effort to achieve results - - same relative importance.
- Should be specific, measurable, attainable, realistic, time-bound, and meaningful.



THE APPRAISAL PROCESS

PERFORMANCE INDICATORS

- **Quantity**
 - **Completes 25 reports.**
- **Quality**
 - **Completes 25 reports with no more than 2 corrective actions.**
- **Timeliness**
 - **Completes 25 reports per week.**
- **Results oriented**
 - **Assures all reports are completed error free and ready for dispatch by____**



THE APPRAISAL PROCESS

PERFORMANCE INDICATORS (Cont)

- **Process oriented**
 - Assures all reports are processed through a sequence of prescribed steps.
- **Efficiency**
 - Measures transaction or production cost such as unit cost per output.
- **Financial indicators credit**
 - Receipt, collection, and obligation rates.



THE APPRAISAL PROCESS

WAYS TO EXPRESS OBJECTIVES

- **Absolute** - **No errors permitted; usually not an acceptable standard.**

Examples: One plane crash is failure (acceptable);

no typing errors (not acceptable).

- **Percentages** - **Sometimes difficult to administer.**

Example: 95% error free.

- **Ranges** - **Recognizes range of acceptable performance.**

Example: Accomplishes between 30 and 35 reports per week.



THE APPRAISAL PROCESS

WAYS TO EXPRESS OBJECTIVES

(Cont)

- **Not more than/not less than/not to exceed -**
 - Example: Completes reports with no more than
3 returned due to errors.
- **By reference to standard or policy -**
 - Example: Completes review in accordance
with provisions in para X, AR XX-XXX



THE APPRAISAL PROCESS

- **During the rating period - -**
 - Rater/ratee review checklist/support form to determine
 - What responsibilities/objectives have changed to make revisions;
 - What has been accomplished and needs to be done;
 - And IDP training needs accomplishments and changers.
 - Make pen and ink changes to checklist/support form, as necessary
 - Provide feedback to ratee on performance to mid-point - review objectives and overall rating criteria to couch/counsel.
 - Ratee and rater initial the form.



THE APPRAISAL PROCESS

- **OBJECTIVE RATINGS** - - Used to evaluate each performance objective/responsibility.
 - **EXCELLENCE**. *Consistently* exceeds level described by the standards and documented expectations; *Frequently* produces more and/or better than expected.
 - **SUCCESS**. *Usually* performs at the level described by the standards and documented expectations. Quality/quantity of accomplishments are generally at expected levels. Strengths clearly outweigh weaknesses.
 - **NEEDS IMPROVEMENT**. *Sometimes* performs at the level described by the standards and documented expectations. However, fails enough so that weaknesses slightly outweigh strengths.
 - **FAILS**. *Frequently* fails to perform at levels described by standards and documented expectations. *Rarely* achieves expected results. Weaknesses clearly outweigh strengths.
 - **NOT RATED**. May be rendered when employee has not had an opportunity to perform.



THE APPRAISAL PROCESS

OVERALL RATING FORMULAS

- **Successful Level 1 - Excellence in 75% or more of objectives (Senior) or 3 or more responsibilities (Base). Supervisor excellence in either leadership or EEO.**
- **Successful Level 2 - Excellence in 25 - 74% of objectives (Senior) , or 1 or 2 responsibilities (Base). Supervisor excellence in leadership or EEO.**
- **Successful Level 3 - Success in all objectives, or excellence in no more than 24% of objectives. Supervisor with success in leadership or EEO.**



THE APPRAISAL PROCESS

OVERALL RATING FORMULAS

(Cont)

- **Fair** - Needs improvement in 1 or more objectives/responsibilities
- **Unsuccessful** - Fails in 1 or more objectives/responsibilities



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THE APPRAISAL PROCESS

- **At the end of the rating period rater - -**
 - Approves ratings of Successful Levels 2 and 3 and Fair; higher level review required (except commanders) for Successful Level 1 and Unsuccessful ratings.
 - Coordinates proposed ratings of Successful Level 1 and Unsuccessful ratings with senior rater before discussions with ratee.
 - Completes the evaluation report using the checklist/support form, and input from the ratee. Ratee may be asked to provide element ratings (e.g., excellence, success) and explanation for rating input.
 - Completes base system responsibility ratings on evaluation report, and annotates element ratings on the senior system support form.
 - Uses overall rating formulas to determine the final rating.
 - Reviews and develops new checklist/support form and IDP.



SPECIAL SITUATIONS

- **Special Appraisal - -**
 - When temporarily detailed or promoted for 120 or more days in a rating period.
 - When rater or ratee leaves the organization after 120 days under a performance plan, except if in the last 120 days of the rating period - - then earlier annual evaluation report, or
 - Information considered when completing the annual appraisal.
- **Probationary or Trial Periods - -**
 - **New employees.** Used to evaluate performance, conduct and general character traits.
 - **New supervisors and managers.** Up to 12-month rating period to evaluate a new appointee on supervisory or managerial responsibilities. An unsatisfactory determination will result in the employee's being returned to a non-supervisory /non-managerial position.
 - **No right to appeal or grieve determinations**
 - **Closer supervision and performance/conduct reviews monthly**



SPECIAL SITUATIONS

- **Performance problem** - - Failure or inability of an employee to successfully perform a performance objective/responsibility Normal supervisory counseling and coaching techniques have not worked.
 - **Performance which “Need Improvement”** - - Ratee’s performance sometimes does not meet standards. Closer supervision via an unstructured performance improvement plan (PIP). Failure could lead to a reassignment.
 - **Performance which “Fails”** - - Ratee’s performance in one or more performance objectives/responsibilities frequently fails to meet the standard. Ratee placed on a PIP. Failure could lead to removal, demotion or reassignment.



SPECIAL SITUATIONS

- **Performance improvement plan (PIP) -**
 - An opportunity period (usually about 90 days) with special assistance provided which may include more definitive standards, training, and regular counseling session.
- **Inability to rate - -**
 - Extend the rating period to achieve the minimum 120 days under a support form/checklist and rate the employee
 - In the meantime, the most recent rating will remain in effect.



SPECIAL SITUATIONS

- **When do you deal with a performance problem? - -**
At any time when routine counseling and coaching efforts have not been successful. The extent of the performance problem falls in one of the following categories:
 - **Performance which “Needs Improvement” - -** A determination that an employee’s performance in one or more performance objectives/responsibilities *sometimes does not meet the standard(s)*. Ratee should be notified of this determination and receive closer supervision via an unstructured performance improvement plan (PIP). May result in reassignment.
 - **Performance which “Fails” - -** A determination that an employee’s performance in one or more performance objectives/responsibilities *frequently fails to meet the standard(s)*. Ratee should be placed on a PIP. Failure to improve to above the Fails level requires reassignment, demotion or removal.



SPECIAL SITUATIONS

- **What is a PIP?** - - A PIP is an opportunity period with special assistance: more definitive standards and training as necessary, and regular counseling sessions. If the PIP results are unsuccessful, the employee must be reassigned, demoted or removed. The PIP usually lasts about 90 days, sometimes for longer or shorter periods depending on the type of job and the work cycle.
- **Documentation required for a PIP.** More specific performance measures and directions may be necessary; at least bi-weekly counseling sessions are recommended with memorandums documenting discussions.



SPECIAL SITUATIONS

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